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Information for NATO Postdoctoral Fellows

N. 1.4 : N21

COMPLETED

North Atlantic Treaty Organization (NATO) Postdoctoral Fellowships in Science

Administered by

NATIONAL SCIENCE FOUNDATION

Washington, D.C. 20550

IMPORTANT

This booklet outlines the terms and conditions of your NATO Postdoctoral Fellowship and provides general information for use during your tenure. Read it carefully and refer to it whenever you have a question about your fellowship. If you lose this booklet, we will send you another upon request.

To avoid delays in receiving fellowship correspondence or checks, you should provide ZIP codes on all addresses in the United States furnished to the Foundation.

Address all correspondence:

National Science Foundation
NATO Postdoctoral Fellowship Program
Office of Scientific and Engineering
Personnel and Education
Washington, D.C. 20550

As a recipient of public funds, you are expected to demonstrate responsibility in fulfilling the academic, reporting and fiscal obligations of your award.

Failure on the part of a Fellow to observe all the terms and conditions of a fellowship award constitutes sufficient grounds for its revocation by the Foundation.

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Current Stipend and Allowances

STIPEND (see Section 7)
$1,500/month for up to 12 months.

TRAVEL ALLOWANCE (see Section 5)
20 cents/mile for Fellow, 20 cents/mile for accompanying spouse, and 10 cents/mile for each of up to 2 accompanying dependent children. May not exceed $4,800 per award nor $2,000 per individual.

DEPENDENCY ALLOWANCE (see Section 8C)
$100/month for dependent spouse and $100 for each of not more than two dependent children.

SPECIAL ALLOWANCE (see Sections 8, item a & b)
$300 for Fellow and $600 for Fellow's host institution.

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NATIONAL SCIENCE FOUNDATION
Washington, D.C. 20550

1. INTRODUCTION

Your Postdoctoral Fellowship has been awarded by the National Science Foundation in recognition of your scientific accomplishments to date, and with the hope that the experience you will obtain during the tenure of your fellowship will increase your scientific competence. The goal of the NATO program is to further mutual understanding and cooperation among scientists of nations within the NATO alliance. Upon acceptance of an award, the Foundation will issue a letter listing the benefits associated with your fellowship. Such benefits are based upon the information furnished in your fellowship application.

2. FELLOWSHIP INSTITUTION

A Fellow must affiliate with an appropriate nonprofit institution during the entire fellowship and is responsible for making all arrangements for such affiliation with the host institution. Institutions selected by Fellows must be in foreign countries approved by the National Science Foundation. A clear relationship should be established with the chosen institution before beginning tenure, thus assuring both you and the Foundation that it will be possible to carry out the program for which the fellowship was awarded.

If it becomes necessary or desirable to seek affiliation with an institution other than the one listed in the application, you must request in writing permission from the Foundation, stating the reasons for the proposed change and explaining the appropriateness of the new institution for the proposed plan of study. This must be done before final arrangements with the new institution are completed. A Fellow

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may not enter on tenure until the Foundation approves all such changes.

You must, before funds will be released, submit evidence (unless such evidence was submitted with the application materials) that the proposed program of study is acceptable to the host institution, and that appropriate space and facilities will be made available for the specified period of the fellowship tenure. Should more than one institution be involved in connection with the fellowship tenure, evidence of acceptance from each institution must be submitted.

Such evidence of acceptance must be received before the Foundation will authorize the beginning of the fellowship. Copies of correspondence regarding such arrangements, including any possible changes which might have become necessary since the time of award, are acceptable.

3. SCIENTIFIC ADVISER

Each Postdoctoral Fellow will arrange for a staff member at the host institution to serve as scientific adviser. Usually this individual will be a professor with whom you will be working closely in your fellowship program. It is hoped that the adviser will assist in the planning and initiation of your program of study and research, and advise you from time to time. The scientific adviser will be the institutional representative responsible for your activities during tenure.

Starting and Termination Certificates used in connection with the fellowship should be signed by the scientific adviser, or in his/her absence, by an appropriate official of the institution.

4. ENTRANCE UPON TENURE

A Postdoctoral Fellow must begin fellowship activities within 18 months after

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announcement of the award. If unforeseen circumstances delay completion of the Ph.D. degree requirements, an exception may be made to extend this deadline up to 3 months, but the Foundation must approve such an arrangement in advance. An awardee who is unable to begin tenure within this specified time period is expected to decline the fellowship. This declination will not prejudice any further application.

Before a Fellow may enter upon tenure of a Postdoctoral Fellowship, the Foundation must have on record the date on which the Ph.D. degree was received. If the Ph.D. degree is not received prior to the starting date of tenure, an awardee, before beginning fellowship tenure, must submit evidence that all requirements for the degree have been completed. The Foundation will provide a certification form for this purpose, if one was not sent with the award materials.

A set of starting materials (Travel Certificates and Starting Certificates) will be sent to you before the indicated fellowship starting date. The Foundation must be kept informed of your current mailing address at all times so that mailed materials will be received without delay. If the starting materials are not received approximately 2 months prior to your starting date, the Foundation should be notified at once.

Fellowship tenure starts on the date a Fellow begins fellowship activities and terminates on the date fellowship activities are completed at the fellowship institution, as indicated on the Starting and Termination Certificates. Both certificates must be signed by the scientific adviser or by an appropriate official of the institution. This is a requirement which the Foundation must ask Fellows to fulfill in order to comply with government accounting regulations. If a Fellow interrupts tenure or affiliates

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with more than one institution, Starting and Termination Certificates are required for each portion of tenure. Stipend payments will not be authorized until a Starting Certificate has been received by the Foundation.

5. TRAVEL REGULATIONS

An allowance to aid in defraying travel costs from either (1) the Fellow's place of permanent residence or (2) the place from which application is filed, to the fellowship institution to begin tenure, and later to return upon completion of tenure, will normally be offered if reimbursement is not received from other sources and if the distance between the two points exceeds 200 miles. If the Fellow travels from a point nearer to the fellow institution than either (1) or (2) above, the travel allowance will be computed from this nearer point. If travel is from a point farther from the fellowship institution than either (1) or (2) above, the travel allowance will normally be based on the longer of the two distances between (1) or (2) and the fellowship institution.

The travel allowance will be computed for the most direct route, as determined from standard mileage tables, at the rate of 20 cents per mile for the Fellow; 20 cents per mile for an accompanying spouse; and 10 cents per mile for each of up to 2 accompanying dependent children (claimed as of the application date). The maximum travel allowance may not exceed $4,800 per fellowship nor $2,000 per individual.

Only one round-trip travel allowance will be provided per fellowship, regardless of the number of tenure periods or the number of fellowship institutions involved. If tenure is split among two or more institutions, the travel allowance will be calculated on the distance to the farthest institution.

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The following points should be noted:

(1) No travel allowance will be paid if the travel distance is less than 200 miles to the fellowship institution.

(2) No travel allowance will be provided for a spouse or dependents who accompany a Fellow for a tenure period of less than 6 months.

(3) To qualify for the travel allowance, a Fellow is to undertake return travel within one year after termination of the fellowship. Also, the Fellow may not receive duplicate payment of travel funds from any other source.

Travel arrangements should be planned as far in advance as possible to minimize scheduling problems. All travel to be reimbursed from Federal funds must be by U.S. flag carriers if such service is available, even though other carriers may be more convenient or less expensive. No exceptions can be made to this ruling, which is based on Controller General Decision B-138,942, dated June 17, 1975.

A U.S. flag carrier (certified) is considered "unavailable" when:

(1) the traveler, while enroute, has to wait 6 hours or more before being able to proceed on a certified air carrier, or

(2) it would require 12 or more hours longer from the airport of origin to complete the required trip than would service using a noncertificated air carrier, or

(3) the elapsed time on a scheduled flight from origin to destination airport by noncertificated air carrier(s) is 3 hours or less, and service by certificated air carrier(s) would involve twice or more such scheduled travel-time, or

(4) the airport at point of origin is not serviced by a U.S. flag carrier. In this case a

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foreign flag carrier should be used only to the nearest practicable interchange point on a usually traveled route to connect with U.S. flag service.

A travel allowance check will be mailed to the Fellow as soon as possible after receipt and approval of the completed Starting Certificates and Travel Certificates.

A travel advance will be available upon request for travel to a fellowship institution provided that the Foundation has evidence of the Fellow's acceptance by the foreign institution, that travel will conform to current policies, including those on use of U.S. flag carriers, and that travel will be undertaken for the purpose of beginning tenure. If a travel advance is desired, the Foundation should be informed well before the proposed trip; the Fellow will then be provided with copies of a Travel Advance form. The completed forms must be received in the Foundation approximately 8 weeks prior to the starting date of tenure to allow time for preparing and mailing the check. A round-trip travel allowance will be provided in advance, upon request, only if round-trip tickets are purchased. Otherwise, a separate travel advance to return to the United States upon completion of total tenure will be available about 8 weeks before the date of scheduled travel.

Each Fellow is responsible for making all arrangements for securing a passport and visa. Visa regulations vary greatly by country, and to avoid the possibility of lengthy delay, Fellows should make the necessary applications at least two months before departure (even sooner if residence in more than one country is involved). In addition, all arrangements for affiliation with a fellowship institution abroad, and provision for living quarters, are the responsibility of the Fellow. Some Fellows, particularly those with families, have

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experienced difficulty in finding suitable housing in foreign countries. Fellows should be aware that housing shortages exist in many cities, and that spiraling and inflationary living costs may exceed those in comparable cities in the United States. Early correspondence with the host institution regarding housing needs is recommended.

Travel time from the United States to a fellowship institution and from that institution to the United States, up to a maximum of one week each way, may be considered as part of tenure. Thus, the actual tenure at the fellowship institution, as shown on the Starting and Termination Certificates, may be up to 2 weeks less than the total authorized tenure for which stipends are to be paid. Starting and Termination Certificates should not reflect any time spent in traveling to and from the fellowship institution(s).

6. PROGRAM CHANGES

Any major change in the study or research program from that proposed at the time of application, and any changes in tenure, or in the institution(s) with which a Fellow is associated, must receive the prior approval of the National Science Foundation. Although it is expected that each Fellow will carry out the program as approved at the time of application, minor changes may be made at the discretion of the Fellow and with concurrence by the scientific adviser. However, any major changes must be outlined and justified in full so that a determination may be made by the Foundation as to whether the new program falls within the intent of the award.

7. STIPENDS

A. ***Amount***. The amount of a Fellow's total stipend depends upon the length of tenure. The basic stipend is $1,500 per month. Thus,

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stipends range from $13,500 to $18,000 for 9 to 12 months of tenure. Stipends for Fellows who are entitled to sabbatical leave pay during tenure will be adjusted on an individual basis so that the total does not exceed the Fellow's salary as of the closing date of the competition.

B. ***Payment.*** Stipend payments will be authorized after a properly completed Starting Certificate has been received by the Foundation. Payments will be made in equal monthly installments during the tenure of the fellowship. The first stipend check will be mailed to the address designated on the Starting Certificate as soon as possible after the completed certificate is received by the Foundation. All subsequent checks will be mailed on the first of each month. Although every effort will be made to send the first check immediately upon receipt of the Starting Certificate, it may not be received until 6 or 7 weeks after the start of the fellowship tenure. It will therefore be necessary for the Fellow to make full financial provision for this interim period.

Inasmuch as the Starting Certificates are not to be submitted until after tenure has begun, Fellows may request payment of the first month's stipend in advance, in order to receive assistance during the processing period. Forms to request this advance will be sent with the starting materials. If you receive an advance and do not subsequently begin tenure as planned, the amount of the advance must be returned to the National Science Foundation immediately.

All stipend checks will be paid in dollar checks issued by the United States Treasury Department. Fellows studying abroad are strongly urged to have stipend checks deposited to personal bank accounts in the United States whenever it is feasible. The Foundation cannot guarantee the timely arrival of overseas checks, which may upon occasion,

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be as much as four weeks late. Furthermore, by choosing a U.S. bank with offices in the host country, Fellows may often avoid additional delays due to currency exchange procedures.

C. ***Delayed or Lost Stipend Checks.*** If a stipend check is not received on time, inquiry should be made at the local post office to see if the check can be traced. If it is still missing after a week or so (2-3 weeks for overseas checks), the Fellow should write to the Foundation at the address given on the inside front cover of this booklet requesting that payment be stopped on the missing check and that a replacement be issued. The Foundation will forward a copy of the letter to the Treasury Department after adding appropriate fiscal information. In addition, if the check is normally sent directly to a bank, an official of the bank should also write the Foundation stating that the bank did not receive the check and requesting that a replacement be issued. Such replacement checks usually require at least 2 months for issue. If the check is found, the Foundation should be notified immediately, and the Fellow must not cash the check until informed that the "Stop Payment" has been removed.

8. OTHER ALLOWANCES

A. ***Special Allowance.*** As soon as possible after the Foundation receives the Starting Certificates, each Fellow will be sent a check representing payment of a Special Allowance of $300. This sum is intended to aid in defraying costs of special travel, such as short-term visits to other institutions or laboratories, attendance at scientific meetings, unusual research expenses, special equipment, or publication costs. It is expendable at the Fellow's discretion.

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B. ***Institutional Allowance.*** On behalf of each Fellow, the National Science Foundation will, upon request, offer an institutional allowance of $600 to a fellowship institution. This allowance is provided in lieu of all regularly assessed fees, and to assist the institution in meeting the costs of providing the Fellow with space, supplies, and equipment. Forms for requesting this allowance will be sent directly to the Business Office of the fellowship institution after a properly executed Starting Certificate has been received from the Fellow. The fellowship institution is responsible for the disbursement of these funds, and such disbursement is at the discretion of the institution.

C. ***Dependency Allowances.*** A Fellow normally will be provided upon request, with a dependency allowance of $100 per month for a dependent spouse (i.e. one providing less than half of the family income) and also $100 for each of not more than two dependent children. No dependency allowance is available for a spouse or child who is receiving funds from the United States Government or from NATO under another fellowship, scholarship, grant or similar award.

If the number of your dependents decreases, notify the Foundation promptly, giving the date the change became effective. No adjustment in allowances will be made for the month in which the decrease in dependency occurs. Dependency allowances were based on the dependency status of the applicant prior to closing date of the competition in which the award was offered. Budgetary limitations preclude any increase in dependency allowances based on later developments.

The Foundation is not responsible for any charges incurred by or on behalf of the Fellow by the fellowship institution.

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9. CHANGE OF ADDRESS

A change in mailing address should be reported promptly to the Foundation. Any address change for a given month's stipend check must be made by the 12th of the preceding month. If the Foundation cannot be notified by the required date, arrangements should be made to obtain the stipend check at the old address, or to have it forwarded by the U.S. Post Office. A Government check may be forwarded in the United States only if the addressee has filed a regular change of address notice with the local post office. If this has not been done, the check cannot be forwarded and will be returned to the United States Treasury Department.

10. ADDITIONAL FELLOWSHIP PROVISIONS

A. ***Length of Tenure.*** Postdoctoral fellowships are awarded for tenure of 6 to 12 months, as requested by the Fellow in the Application. The shortest period of tenure at any given fellowship institution must be at least 4 continuous months. The total elapsed time from the date of award to termination of the fellowship may not exceed 30 months.

The fellowship is subjected to termination if the Fellow discontinues studies or research for any reason prior to the end of the fellowship tenure except for tenure breaks as provided in the application. If a Fellow does not conform to the administrative requirements of the fellowship institution, the Foundation reserves the right to withhold all stipend checks, pending a full explanation.

B. ***Extension of Tenure.*** Requests for extensions of tenure will not be granted, nor will a Fellow be allowed to reapply in future competition within the program.

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C. ***Fellowship Activities and Travel.*** These fellowships are not designed to support the preparation of materials for publication or the writing of textbooks as the primary objective of the Fellow. Special travel during tenure may not be undertaken without the prior approval of the Fellow's adviser, but it will not be necessary to obtain similar approval from the National Science Foundation.

D. ***Supplementary Activities.*** During the tenure of the fellowship, Fellows are expected to devote full time to the scientific study or research outlined in the Application for which the award was granted. A Fellow may not engage in activities for compensation (except for brief military obligations) or receive another fellowship or similar award while pursuing fellowship activities, without the prior approval of the Foundation. Such approval (except for teaching—see E below—and research, and military reserve obligations—see L below) may be granted only under exceptional circumstances.

Institutions may supplement fellowship stipends, without prior permission from the Foundation, up to a maximum of 20 percent of a Fellow's stipend. Such supplementation must be in accord with established institution policies. It may be given without any requirement for duties in addition to normal fellowship activities, or it may involve limited teaching or research duties, provided these are compatible with the approved research and study plans of the Fellow.

Prior Foundation approval is required in all cases in which an institution proposed to supplement in any amount larger than the above established guidelines. Approval will be given only for compelling reasons. It is the Fellow's responsibility to notify the Foundation of all supplementation in any amount as soon as the supplementation has received institutional approval.

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E. ***Teaching.*** Since experience in teaching is frequently desirable as part of a period of advanced training, the Foundation will usually approve a Fellow's request to undertake limited teaching responsibilities at the fellowship institution during tenure, and to accept some remuneration for this service. Agreement between the Fellow and the Foundation on the extent of these responsibilities and the remuneration must be obtained in advance, and all requests will be handled on an individual basis.

F. ***Federal and/or Armed Forces Employees.*** If during any part of a fellowship tenure a Fellow will be a member of the Armed Forces or on leave from a position in the Federal service, a statement must be filed from a cognizant official of the Government organization involved specifying (1) the funds, if any, that will be made available to the Fellow during tenure and the purpose for which they will be provided, and (2) the funds, if any, that will be made available to the fellowship institution on the Fellow's behalf. The Foundation and the Fellow's organization must reach a mutually satisfactory agreement regarding the Fellow's support during tenure before any funds can be provided under the fellowship.

G. ***Vacations.*** Fellowships do not provide a vacation period, as such, during the fellowship tenure. Fellows are entitled to the short holiday periods observed by their fellowship institutions, such as Christmas, and similar holidays. These holiday periods cannot be accumulated for use at a later date as a vacation period. There is considerable variation in institutional practices in this area, but if an institution should "close" for a period in excess of 2 weeks, each Fellow attending such an institution will be expected to have made prior arrangements for use of necessary facilities

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to carry out the approved program. If it is not possible for the Fellow to make these arrangements at the host institution, other satisfactory arrangements must be made with prior Foundation approval, to carry on the work, or request the Foundation to permit suspension of the fellowship for that period of time.

H. ***Medical Insurance.*** No medical or hospitalization program for use in the event of illness or accident involving a Fellow (or dependents) during the tenure is provided by the fellowship. A Fellow, in whose behalf the Foundation has made available to the fellowship institution an institutional allowance, may negotiate with the host institution to have medical or hospital fees paid from this fund.

In absence of medical and hospital insurance by the institution, it is recommended that Fellows continue during tenure any medical insurance programs with which they are affiliated, or if they are not members of any such program, make arrangements to join a medical program which gives a reasonable amount of protection. Care should be taken to insure that these medical programs are applicable to destinations abroad.

I. ***Publication.*** Fellows may make the results of their research available to the public without restrictions, except as is required in the interest of national security. Please submit to the Foundation's fellowship office one copy of any published reports resulting from work while on tenure.

An acknowledgement of NATO support and a disclaimer must appear in any publication of any material, whether copyrighted or not, based on or developed under this award, in the following terms:

"This material is based upon work supported by the North Atlantic Treaty Orga-

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nization under a Grant awarded in (enter the year of award)"

All materials, except scientific articles or papers published in scientific journals, must also contain the following:

"Any opinions, findings, and conclusions or recommendations expressed in this publication are those of the author(s) and do not necessarily reflect the views of NATO."

J. ***Income Taxes.*** No income tax will be withheld from any stipend. Provision therefore must be made by the Fellow for payment of any tax, domestic or foreign, when due. In accordance with Section 117 of the Internal Revenue Code of 1954, an individual who is a candidate for a degree at an educational institution may exclude the amount of the National Science Foundation fellowship stipend from gross income for Federal income tax purposes. However, a fellowship recipient who is not a candidate for a degree at an educational institution may exclude from gross annual income during any taxable year an amount not to exceed $300 per month from fellowship funds for the number of months for which stipend payments are received under the fellowship. Exclusion under this provision is limited to a total period of 36 months whether or not consecutive. A citation for this exemption being applicable to NATO fellowships is Revenue Ruling 63-19, C.B. 1963-1,28.

The foregoing summary of the Internal Revenue Code on this question is advisory only. Final authority as to the taxability of awards rests with the Internal Revenue Service and the courts. Specific questions should be referred to the Internal Revenue Service.

Fellows going abroad may find it helpful to consult Internal Revenue Service Publication No. 54, *Tax Guide for U.S. Citizens Abroad,* and also Publication No. 520, entitled *Tax*

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Information For American Scholars Abroad. These are available at all I.R.S. district offices.

Fellows are not in any sense employees of the National Science Foundation. Therefore, no funds will be deducted from the stipend; no Social Security taxes will be paid by the Foundation; no W-2 forms will be issued; and provision must be made by the Fellow for the filing of any necessary estimate of taxes due and for payment of all income taxes which may become due. A statement of funds received (including travel and special allowance) will be issued by the Division of Financial and Administrative Management of the Foundation upon request of the Fellow.

The Foundation is unable to supply information concerning the income tax or other tax provisions of any foreign country. Inquiries should be directed to the authorities in the appropriate countries.

K ***Future Employment.*** The award and acceptance of a NATO Postdoctoral Fellowship does not obligate a Fellow, the North Atlantic Treaty Organization, the National Science Foundation, or the United States Government with regard to future employment or future service of any kind.

L. ***Military Service.*** Brief interruptions of a fellowship for duly authorized military service or training will be permitted with prior Foundation approval. Requests for such interruptions of tenure should be directed to the Foundation in writing as soon as plans are final. Interruptions of less than 4 days need no approval.

In the case of a longer interruption resulting from active military service or from certain activities in lieu of service with the regular U.S. Armed Forces, provisions can be made for reservation of a fellowship, (or the balance of it) and reinstatement of the unused portion at a later date. In such cases Fellows

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should notify the Foundation immediately in writing of their plans, and request further instructions.

M. ***Veterans' Benefits.*** As a result of the enactment of P.L. 91-219, effective March 26, 1970, educational benefits payments from the Veterans' Administration may be received concurrently with and supplementary to fellowship payments from the National Science Foundation.

11. TERMINATION OF FELLOWSHIPS

A. ***The Termination Process.*** The Foundation attempts to provide each Fellow with appropriate termination materials at least three months prior to the anticipated termination date. However, Fellows are ultimately responsible for notifying the Foundation that they are ready to terminate fellowship activities, for requesting the Termination Certificate in ample time to have it signed prior to departure from the fellowship institution, and for making arrangements for its submission to the Foundation. This certificate must be signed by an appropriate official at the fellowship institution, and should show the date the Fellow actually completed fellowship activities; the fellowship will be considered to have terminated as of that date. When a Fellow affiliates with more than one institution, a Termination Certificate is required from each institution. Submission of the certificate is necessary to comply with governmental accounting procedures. In the event the certificate is not submitted, the Fellow may be requested to return to the Foundation all fellowship funds which were received during fellowship tenure.

B. ***Termination Report.*** Shortly before the end of the fellowship tenure the Fellow will receive a letter requesting a report on any significant experiences and accomplishments

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during tenure. The Foundation would also be pleased to receive an account of the Fellow's progress at any time, especially if there are any particularly significant developments during the fellowship year.

C. ***Additional Reports.*** Fellows will be requested periodically to respond to questionnaires or other inquiries as part of the follow-up activities of the Program. Having been recipients of support, Fellows would be most helpful in meeting their continuing obligations by responding promptly to such inquiries.

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